



COPY OF PAPERS  
ORIGINALLY FILED

2FCI 'Keep'  
#8

CASE PP/1-22042/A/CGM 499/PCT

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Dolores DeCarmine  
Type or print name

Dolores DeCarmine  
Signature

5/17/02  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF

Group Art Unit: 1713

ANDREAS KRAMER ET AL

Examiner:

APPLICATION NO: 10/019,618

FILED: DECEMBER 20, 2001

FOR: MONO AND MULTIFUNCTIONAL  
ALKOXYAMINES FOR THE  
PREPARATION OF FUNCTIONALIZED  
MACROMERS

RECEIVED

Assistant Commissioner for Patents

JUN 25 2002

Washington, D.C. 20231

Technology Center 2600

LETTER CORRECTING FILING RECEIPT

Sir:

The official filing receipt received in the above-identified application erroneously lists the filing date. In reviewing the case, Applicants noted that a clerical error was made in the Notice of Acceptance of Application Under 35 U.S.C. 371 where the 371 date is listed. **Applicants enclose copies of the Notice, the postcard of acknowledgment of receipt and the filing receipt for your review.** Please issue a corrected filing receipt listing the filing date as follows:

-- December 20, 2002 --.

Applicants believe this is a clerical error ascribable to the Patent Office. Accordingly, no fee is required.

Respectfully submitted,

Tyler A. Stevenson  
Agent for Applicants  
Reg. No. 46,388

Ciba Specialty Chemicals Corporation  
Patent Department  
540 White Plains Road  
P.O. Box 2005  
Tarrytown, NY 10591-9005  
(914) 785-2783  
TAS:dd  
Encl.: copy of filing receipt  
copy of receipt postcard

RECEIVED  
JUN 26 2002  
TC 1700

MAY 17 2002



UNITED STATES PATENT AND TRADEMARK OFFICE

COPY OF PAPERS  
ORIGINALLY FILEDCommissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/019,618	Andreas Kramer	PP/1-22042/A/CGM 499/PCT

LA. FILING DATE	PRIORITY DATE
06/26/2000	07/02/1999

CONFIRMATION NO. 1679

371 ACCEPTANCE LETTER



\*OC000000007821413\*

000324  
**CIBA SPECIALTY CHEMICALS CORPORATION**  
 PATENT DEPARTMENT  
 540 WHITE PLAINS RD  
 P O BOX 2005  
 TARRYTOWN, NY 10591-9005

**RECEIVED**

APR 23 2002

ANDREA DECECCCHIS  
 DOCKET COORDINATOR  
 PATENT DEPARTMENT

Date Mailed: 04/10/2002

NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.494  
 OR 1.495

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as an Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

**12/20/2000**DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and  
 (c)(4) REQUIREMENTS**12/20/2001**DATE OF RECEIPT OF ALL 35 U.S.C.  
 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE. The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- U.S. Basic National Fee
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

**RECEIVED**  
 JUN 26 2002  
 TC 1700

PP/1-22042/A | CGM 499/PCT

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

---

BARBARA A CAMPBELL  
Telephone: (703) 305-3631

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

COPY OF PAPERS  
ORIGINALLY FILED



RECEIVED  
JUN 26 2002  
TC 1700

Case No. PPI-220421A/Com 4991  
Application Serial No. 10/019618 PCT  
Mailing Date: 12/20/01 EXPRESS  
Due Date: 17/2/02 MAIL

The Patent & Trademark Office acknowledges, and has stamped hereon  
the date of receipt of the items checked below:

- Prelim.  
 Amendment - Fee \$ \_\_\_\_\_  
 Appeal Brief - Fee \$ \_\_\_\_\_  
 Application Filing Papers - Fee \$ 1,016.00  
     PCT national stage  
     Provisional Application  
 PCT Forms 308+210  
 Assignment Recordation - Fee \$ \_\_\_\_\_  
 Associate Power of Attorney  
 Claim of Priority  
     Certified Copy(ies)  
 Declaration and Power of Attorney (2)  
 Declaration    Rule 131    Rule 132  
 Foreign Filing License Request  
 Formal Drawings  
 Information Disclosure Statement - Fee \$ \_\_\_\_\_  
 Issue Fee Transmittal - Fee \$ \_\_\_\_\_  
 Letter/Response  
 Notice of Appeal - Fee \$ \_\_\_\_\_  
 Petition - Fee \$ \_\_\_\_\_  
 Petition for Extension of time - Fee \$ \_\_\_\_\_  
 Reply Brief  
 Request for Oral Hearing - Fee \$ \_\_\_\_\_  
 Request for Certification of Correction - Fee \$ \_\_\_\_\_  
 TAS



MAY 28 2002

COPY OF PAPERS  
ORIGINALLY FILED

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
--------------------	-------------	--------------	---------------	----------------	----------	------------	------------

10/019,618

12/20/2000

1713

1016

PP/1-  
22042/A/CGM  
499/PCT

28

2

RECEIVED

CONFIRMATION NO. 1679

REPLACEMENT FILING RECEIPT



\*OC000000007870986\*

000324  
**CIBA SPECIALTY CHEMICALS CORPORATION APR 23 2002**  
 PATENT DEPARTMENT  
 540 WHITE PLAINS RD  
 P O BOX 2005  
 TARRYTOWN, NY 10591-9005

ANDREA DECECCIS  
 DOCKET COORDINATOR  
 PATENT DEPARTMENT

Date Mailed: 04/16/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Andreas Kramer, Meyriez, SWITZERLAND;  
 Peter Nesvadba, Marly, SWITZERLAND;  
 Marie-Odile Zink, Steinbach, FRANCE;  
 Wiebke Wunderlich, Bologna, ITALY;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/EP00/05899 06/26/2000

## Foreign Applications

EUROPEAN PATENT OFFICE (EPO) 99810567.0 07/02/1999

RECEIVED  
 JUN 26 2002  
 TC 1700

Projected Publication Date: Not Applicable, filed prior to November 29, 2000

Non-Publication Request: No

Early Publication Request: No

Title

PP/1-22042/A/CGM 499/PCT

Mono and multifunctional alkoxyamines for the preparation of functionalized macromers

**Preliminary Class**

525

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).